

Practitioner's Docket No. U 014736-5

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

☒ In re application of: M-H LAN, et al.  
Application No.: 10/023,362 Group No.:  
Filed: 14 December 2001 Examiner:  
For: INCUBATION METHOD FOR OBTAINING SOLID CULTURE OF ZANG ZHI, SOLID  
CULTURE OBTAINED THEREFROM, PROCESSED PRODUCTS AND USE THEREOF  
☐ Patent No.\*: Issued:

Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

POWER OF ATTORNEY BY ASSIGNEE OF ENTIRE INTEREST  
(REVOCATION OF PRIOR POWERS)

NOTE: *Submission of a Power of attorney after issuance of the Notice of Allowance in an application does not result in a reduction in patent term adjustment under 37 C.F.R. § 1.704(c)(10). See Notice of May 29, 2001, 1247 OG 111-112, June 26, 2001.*

As assignee of record of the entire interest of the above identified

☒ application,  
☐ patent,

REVOCATION OF PRIOR POWERS OF ATTORNEY

all powers of attorney previously given are hereby revoked and

NEW POWER OF ATTORNEY

the following attorney(s) and/or agent(s) are hereby appointed to prosecute and transact all business in the Patent and Trademark Office connected therewith.

JOSEPH H. HANDELMAN, 26179

JULIAN H. COHEN, 20302

JOHN RICHARDS, 31053

WILLIAM R. EVANS 25858

RICHARD J. STREIT, 25765

JANET I. CORD, 33778

PETER D. GALLOWAY, 27885

CLIFFORD J. MASS, 30086

RICHARD P. BERG, 28145

CYNTHIA R. MILLER, 34678

(Power of Attorney by Assignee of Entire Interest--page 1 of 2) 12-2

**SEND CORRESPONDENCE TO:**

**Ladas & Parry**  
**26 West 61<sup>st</sup> Street**  
**New York, N.Y. 10023**

**DIRECT TELEPHONE CALLS TO:**

*(Name and telephone number)*

**(212) 708 - 1930**

**Optional Customer No. Bar Code**



**00140**

PATENT TRADEMARK OFFICE

Ming-Huang LAN

*(type or print identity of assignee of entire interest)*

7F, No. 9, Lane 191, Sec. 2, Di-Hua Street

Address

Taipei, Taiwan, R.O.C.

Li-Yu WU

*(type or print identity of assignee of entire interest)*

7F, No. 9, Lane 191, Sec. 2, Di-Hua Street

Address

Taipei, Taiwan, R.O.C.

- ☒ Recorded in PTO at  
Reel 012652  
Frame 0300
- ☐ Recorded herewith

**ASSIGNEE STATEMENT**

Attached to this power is a "STATEMENT UNDER 37 C.F.R. section 3.73(b)."

(x) Ming-Huang LAN & (x) WU, Li-YU  
Signature  
Date: (x) Aug 13, 2003 & (x) Aug 13, 2003  
Ming-Huang LAN & Li-Yu WU  
*(type or print name of person authorized to sign on behalf of assignee)*

**NOTE:** The assignee of the entire interest may revoke previous powers and be represented by an attorney of his or her selection, 37 C.F.R. 1.36.

(Power of Attorney by Assignee of Entire Interest—page 2 of 2) 12-2

05-3459

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

☒ In re application of: Ming-Huang LAN, et al.

Application No.:

Group No.:

Filed:

Examiner:

For: INCUBATION METHOD FOR OBTAINING SOLID CULTURE OF ZANG ZHI, SOLID CULTURE OBTAINED THEREFROM, PROCESSED PRODUCTS AND USE THEREOF

☐ \*Patent No.:

Issue Date:

\*NOTE: Insert name(s) of inventor(s) and title also for patent Where statement is with respect to a maintenance fee payment, also insert application number and filing date, and add Box M. Fee to address.

## STATEMENT CLAIMING SMALL ENTITY STATUS (37 CFR 1.9(c-f) and 1.27(b-d))

With respect to the invention described in

☒ the specification filed herewith.☐ application no. \_\_\_\_\_, filed \_\_\_\_\_.☐ patent no. \_\_\_\_\_ issued \_\_\_\_\_.

## I. IDENTIFICATION AND RIGHTS AS A SMALL ENTITY

I hereby state that I am

(complete either (a), (b), (c) or (d) below)

## (a) Independent Inventor



a below named independent inventor, and that I qualify as an independent inventor, as defined in 37 CFR 1.9(c), for purposes of paying reduced fees under Sections 41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office.

## (b) Noninventor Supporting a Claim by Another



making this statement to support a claim by

Ming-Huang LAN; Chang-Chou LAN; Chung-Liang LAN; Chung-Min LAN

for a small entity status for purposes of paying reduced fees under Sections 41(a) and (b) of Title 35, United States Code. I hereby state that I would qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees under Sections 41(a) and (b) of Title 35, United States Code, if I had made the above identified invention.

## (c) Small Business Concern

check



the owner of the small business concern identified below:



an official of the small business concern empowered to act on behalf of the concern identified below:

Name of Concern \_\_\_\_\_

Address of Concern \_\_\_\_\_ and

that the above identified small business concern qualifies as a small business concern, as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under Sections 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

(d) Non-Profit Organization

☐ an official empowered to act on behalf of the nonprofit organization identified below:

Name of Organization \_\_\_\_\_

Address of Organization \_\_\_\_\_

TYPE OF ORGANIZATION

- ☐ University or Other Institution of Higher Education
- ☐ Tax Exempt Under Internal Revenue Service Code (26 USC 501(a) and 501(c) (3))
- ☐ Nonprofit Scientific or Educational Under Statute of State of the United States of America  
(Name of State \_\_\_\_\_)  
(Citation of Statute \_\_\_\_\_)
- ☐ Would Qualify as Tax Exempt Under Internal Revenue Service Code (26 USC 501(a) and 501(c) (3)), if Located in the United States of America
- ☐ Would Qualify as Nonprofit Scientific or Educational Under Statute of State of the United States of America, if Located in the United States of America  
(Name of State \_\_\_\_\_)  
(Citation of Statute \_\_\_\_\_)

and that the nonprofit organization identified above qualifies as a nonprofit organization, as defined in 37 CFR 1.9(e), for purposes of paying reduced fees under Sections 41(a) and (b) of Title 35, United States Code.

II. OWNERSHIP OF INVENTION BY DECLARANT

I hereby state that rights under contract or law remain with and/or have been conveyed to the above identified

☒ person

☐ concern

☐ organization

(item (a) or (b) above)

(item (c) above)

(item (d) above)

EXCEPT, that if the rights held are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held (1) by any person who could not be classified as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, (2) any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or (3) a nonprofit organization under 37 CFR 1.9(e).

- ☐ no such person, concern, or organization  
☒ person, concerns or organizations listed below\*

*\*NOTE: Separate statements are required from each named person, concern or organization having rights to the invention as to their status as small entities. (37 CFR 1.27)*

Full Name Li-Yu WU

Address 7F, No. 9, Lane 191, Sec. 2, Di-Hua Street, Taipei, Taiwan, R. O. C.

☒ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

Full Name \_\_\_\_\_

Address \_\_\_\_\_

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

### III. ACKNOWLEDGEMENT OF DUTY TO NOTIFY PTO OF STATUS CHANGE

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

### IV. DECLARATION

*(check the following item, if desired)*

*NOTE: The following verification statement need not be made in accordance with the rules published on October 10, 1997, 62 Fed. Reg. 52131, effective December 1, 1997.*

*NOTE: "The presentation to the Office (whether by signing, filing, submitting, or later advocating) of any paper by a party, whether a practitioner or non-practitioner, constitutes a certification under § 10.18(b) of this chapter. Violations of § 10.18(b)(2) of this chapter by a party, whether a practitioner or non-practitioner, may result in the imposition of sanctions under § 10.18(c) of this chapter. Any practitioner violating § 10.18(b) may also be subject to disciplinary action. See §§ 10.18(d) and 10.23(c)(15)." 37 CFR 1.4(d)(2).*

- ☐ I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any

patent issuing thereon, or any patent to which this verified statement is directed.

**V. SIGNATURES**

*(complete only (e) or (f) below)*

**(e)**

NOTE: All inventors must sign the statement.

Li-Yu WU  
Name of Inventor

(X) Wu Li-Yu  
Signature of Inventor

Date: (X) AUGUST 13, 2003

\_\_\_\_\_  
Name of Inventor

\_\_\_\_\_  
Signature of Inventor

Date: \_\_\_\_\_

\_\_\_\_\_  
Name of Inventor

\_\_\_\_\_  
Signature of Inventor

Date: \_\_\_\_\_

*(add lines for any additional inventors who must sign)*

or

**(f)**

NOTE: The title of the person signing on behalf of a concern or nonprofit organization should be specified.

Name of Person Signing \_\_\_\_\_

Title of Person \_\_\_\_\_  
*(if signing on behalf of a concern or non-profit organization)*

Address of Person Signing \_\_\_\_\_

SIGNATURE \_\_\_\_\_

DATE \_\_\_\_\_

05-3459

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

☒ In re application of: Ming-Huang LAN, et al.

Application No.:

Group No.:

Filed:

Examiner:

For: INCUBATION METHOD FOR OBTAINING SOLID CULTURE OF ZANG ZHI, SOLID CULTURE OBTAINED THEREFROM, PROCESSED PRODUCTS AND USE THEREOF

☐ \*Patent No.:

Issue Date:

\*NOTE: Insert name(s) of inventor(s) and title also for patent Where statement is with respect to a maintenance fee payment, also insert application number and filing date, and add Box M. Fee to address.

## STATEMENT CLAIMING SMALL ENTITY STATUS (37 CFR 1.9(c-f) and 1.27(b-d))

With respect to the invention described in

☒ the specification filed herewith.☐ application no. \_\_\_\_\_, filed \_\_\_\_\_.☐ patent no. \_\_\_\_\_ issued \_\_\_\_\_.

## I. IDENTIFICATION AND RIGHTS AS A SMALL ENTITY

I hereby state that I am

(complete either (a), (b), (c) or (d) below)

## (a) Independent Inventor

☐ a below named independent inventor, and that I qualify as an independent inventor, as defined in 37 CFR 1.9(c), for purposes of paying reduced fees under Sections 41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office.

## (b) Noninventor Supporting a Claim by Another

☒ making this statement to support a claim byMing-Huang LAN; Chang-Chou LAN; Chung-Liang LAN; Chung-Min LAN

for a small entity status for purposes of paying reduced fees under Sections 41(a) and (b) of Title 35, United States Code. I hereby state that I would qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees under Sections 41(a) and (b) of Title 35, United States Code, if I had made the above identified invention.

## (c) Small Business Concern

check

☐ the owner of the small business concern identified below:☐ an official of the small business concern empowered to act on behalf of the concern identified below:

Name of Concern \_\_\_\_\_

Address of Concern \_\_\_\_\_ and \_\_\_\_\_

that the above identified small business concern qualifies as a small business concern, as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under Sections 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

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☐ an official empowered to act on behalf of the nonprofit organization identified below:

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Address of Organization \_\_\_\_\_

TYPE OF ORGANIZATION

- ☐ University or Other Institution of Higher Education
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(Name of State \_\_\_\_\_)  
(Citation of Statute \_\_\_\_\_)
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- ☐ Would Qualify as Nonprofit Scientific or Educational Under Statute of State of the United States of America, if Located in the United States of America  
(Name of State \_\_\_\_\_)  
(Citation of Statute \_\_\_\_\_)

and that the nonprofit organization identified above qualifies as a nonprofit organization, as defined in 37 CFR 1.9(e), for purposes of paying reduced fees under Sections 41(a) and (b) of Title 35, United States Code.

**II. OWNERSHIP OF INVENTION BY DECLARANT**

I hereby state that rights under contract or law remain with and/or have been conveyed to the above identified

☒ person

☐ concern

☐ organization



(item (a) or (b) above)

(item (c) above)

(item (d) above)

EXCEPT, that if the rights held are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held (1) by any person who could not be classified as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, (2) any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or (3) a nonprofit organization under 37 CFR 1.9(e).

- ☐ no such person, concern, or organization  
☒ person, concerns or organizations listed below\*

*\*NOTE: Separate statements are required from each named person, concern or organization having rights to the invention as to their status as small entities. (37 CFR 1.27)*

Full Name Li-Yu WU

Address 7F, No. 9, Lane 191, Sec. 2, Di-Hua Street, Taipei, Taiwan, R. O. C.

☒ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

Full Name \_\_\_\_\_

Address \_\_\_\_\_

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

### III. ACKNOWLEDGEMENT OF DUTY TO NOTIFY PTO OF STATUS CHANGE

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*(check the following item, if desired)*

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*NOTE: "The presentation to the Office (whether by signing, filing, submitting, or later advocating) of any paper by a party, whether a practitioner or non-practitioner, constitutes a certification under § 10.18(b) of this chapter. Violations of § 10.18(b)(2) of this chapter by a party, whether a practitioner or non-practitioner, may result in the imposition of sanctions under § 10.18(c) of this chapter. Any practitioner violating § 10.18(b) may also be subject to disciplinary action. See §§ 10.18(d) and 10.23(c)(15)." 37 CFR 1.4(d)(2).*

- ☐ I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any

patent issuing thereon, or any patent to which this verified statement is directed.

**V. SIGNATURES**

*(complete only (e) or (f) below)*

**(e)**

NOTE: All inventors must sign the statement.

Ming-Huang LAN  
Name of Inventor

(X) Ming-Huang LAN Date: (X) Aug 13, 2003  
Signature of Inventor

\_\_\_\_\_  
Name of Inventor

\_\_\_\_\_  
Signature of Inventor Date: \_\_\_\_\_

\_\_\_\_\_  
Name of Inventor

\_\_\_\_\_  
Signature of Inventor Date: \_\_\_\_\_

*(add lines for any additional inventors who must sign)*

or

**(f)**

NOTE: The title of the person signing on behalf of a concern or nonprofit organization should be specified.

Name of Person Signing \_\_\_\_\_

Title of Person \_\_\_\_\_  
*(if signing on behalf of a concern or non-profit organization)*

Address of Person Signing \_\_\_\_\_

SIGNATURE \_\_\_\_\_ DATE \_\_\_\_\_

U-345

Practitioner's Docket No. U 014736-5

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: M-H LAN, et al.

Application No.: 10/023,326

Group No.:

Filed: 14 December 2001

Examiner:

For: INCUBATION METHOD FOR OBTAINING SOLID CULTURE OF ZANG ZHI, SOLID CULTURE OBTAINED THEREFROM, PROCESSED PRODUCTS AND USE THEREOF

Patent\*: \_\_\_\_\_

Issue Date: \_\_\_\_\_

Reexamination No.: \_\_\_\_\_

Issue Date: \_\_\_\_\_

Reissue: \_\_\_\_\_

Issue Date: \_\_\_\_\_

\*NOTE: Insert name(s) of inventor(s) and title for patent.

Commissioner for Patents

P. O. Box 1450

Alexandria, VA 22313-1450

STATEMENT UNDER 37 C.F.R. § 3.73(b)

ESTABLISHING RIGHT OF ASSIGNEE TO TAKE ACTION

NOTE: 37 CFR 3.73(b) states: "When an assignee seeks to take action in a matter before the Office with respect to a patent application, ..., patent, registration, or reexamination proceeding, the assignee must establish its ownership of the property to the satisfaction of the Commissioner. Ownership is established by submitting to the Office, in the Office file related to the matter in which action is sought to be taken, documentary evidence of a chain of title from the original owner to the assignee (e.g., copy of an executed assignment submitted for recording) or by specifying (e.g., reel and frame number) where such evidence is recorded in the Office. The submission establishing ownership must be signed by a party authorized to act on behalf of the assignee. Documents submitted to establish ownership may be required to be recorded as a condition to permitting the assignee to take action in a matter pending before the Office."

CERTIFICATION UNDER 37 C.F.R. 1.8(a) and 1.10\*  
(When using Express Mail, the Express Mail label number is mandatory;  
Express Mail certification is optional.)

I hereby certify that, on the date shown below, this correspondence is being:

MAILING

- ☒ deposited with the United States Postal Service in an envelope addressed to the Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450

37 C.F.R. 1.8(a)

37 C.F.R. 1.10\*

- ☒ with sufficient postage as first class mail.

☐ as "Express Mail Post Office to Address"  
Mailing Label No. \_\_\_\_\_ (mandatory)

TRANSMISSION

- ☐ transmitted by facsimile to the Patent and Trademark Office.

Date: \_\_\_\_\_

Signature \_\_\_\_\_

(type or print name of person certifying)

\*WARNING: Each paper or fee filed by "Express Mail" must have the number of the "Express Mail" mailing label placed thereon prior to mailing. 37 C.F.R. 1.10(b).  
"Since the filing of correspondence under § 1.10 without the Express Mail mailing label thereon is an oversight that can be avoided by the exercise of reasonable care, requests for waiver of this requirement will not be granted on petition." Notice of Oct. 24, 1996, 60 Fed. Reg. 56,439, at 56,442.

(Statement under 37 C.F.R. § 3.73(b) Establishing Right of Assignee to Take Action—page 1 of 4) 1-1c 16-16

NOTE: "Section 3.73(b) is amended to remove the sentence requiring an assignee to specifically state that the evidentiary documents have been reviewed and to certify that title is in the assignee seeking to take action. The sentence is deemed to be unnecessary in view of the amendments to §§ 1.4(d) and 10.18." Notice of Oct. 10, 1997, 62 Fed. Reg. 53,131, at 53,174.

1. The assignee(s) of the entire right, title and interest hereby seek(s) to take action in the PTO in this matter.

### IDENTIFICATION OF ASSIGNEE

2. MING-HUANG LAN & LI-YU WU

Name of assignee

INDIVIDUALS

Type of assignee, e.g., corporation, partnership, university, government agency, etc.

NOTE: The Notice of April 30, 1993 (1150 O.G. 62-64) points out:

*"The statement under 37 CFR 3.73(b) may be signed on behalf of the assignee in the following two manners if the assignee is an organization (e.g., corporation, partnership, university, government agency, etc.).*

*"(1) The statement may be signed by a person in the organization having apparent authority to sign on behalf of the organization. An officer (president, vice-president, secretary, or treasurer) is presumed to have authority to sign on behalf of the organization. The signature of the chairman of the board of directors is acceptable, but not the signature of an individual director. A person having a title (manager, director, administrator, general counsel) that does not clearly set forth that person as an officer of the assignee is not presumed to be an officer of the assignee or to have authority to sign the statement on behalf of the assignee. A power of attorney from the inventors in an organization to a practitioner to prosecute a patent application does not make the practitioner an official of an assignee or empower the practitioner to sign the statement on behalf of the assignee.*

*"(2) The statement may be signed by any person, if the statement includes an averment that the person is empowered to sign the statement on behalf of the assignee and, if not signed by a registered practitioner, the statement must be in oath or declaration form. Where a statement does not include such an averment, and the person signing does not hold a position in the organization that would give rise to a presumption that the person is empowered to sign the statement on behalf of the assignee, evidence of the person's authority to sign will be required."*

(complete the following, if applicable)

- ☐ I, the person signing below, state that I am empowered to sign this statement on behalf of the assignee.

### BASIS OF ASSIGNEE'S INTEREST

Ownership by the assignee is established as follows:

A.

1. ☒ An assignment from the inventor(s) of the matter identified above, which was recorded in the PTO at  
Reel 012652 Frame 0300

2. ☐ An assignment (document) separately being submitted for recordal herewith.

AND/OR

- B. ☐ A chain of title from the inventor(s) to the current assignee as shown below:

1. From: \_\_\_\_\_  
Name of inventor(s)  
To: \_\_\_\_\_  
Recorded in PTO: Reel \_\_\_\_\_, Frame \_\_\_\_\_
2. From: \_\_\_\_\_  
Name of inventor(s) or assignee  
To: \_\_\_\_\_  
Recorded in PTO: Reel \_\_\_\_\_, Frame \_\_\_\_\_
3. From: \_\_\_\_\_  
Name of inventor(s) or assignee  
To: \_\_\_\_\_  
Recorded in PTO: Reel \_\_\_\_\_, Frame \_\_\_\_\_

(check item below, and add details, if applicable)

- ☐ Additional documents in the chain of title are listed in the attached Supplemental Sheet.

**COPIES OF DOCUMENTS IN CHAIN OF TITLE**

(complete this item, if copies are being sent)

- ☒ Copies of the assignment(s) or other document(s) in the chain of title are attached as follows:

<input checked="" type="checkbox"/>	A	<input checked="" type="checkbox"/>	1	<input type="checkbox"/>	2	
<input type="checkbox"/>	B	<input type="checkbox"/>	1	<input type="checkbox"/>	2	<input type="checkbox"/> 3

(X) Aug 13, 2003 (X) Aug 13, 2003  
date

(X) Ming-Huang LAN & (X) Wu Li-Yu  
Signature of authorized person  
MING-HUANG LAN & LI-YU WU  
(type or print name of authorized person)